



COPY OF PAPERS
ORIGINALLY FILED

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT : THOMANN, KAREN S.
SERIAL NO : 10/086,336
FILED : March 1, 2002
TITLE : AUTOMATED WORKFLOW MEANS AND METHOD FOR
PENSION PRODUCTS

Grp./A.U. : 2163
Examiner :
Conf. No. : 4139
Docket No. : P04514US0

COMPLETION OF FILING REQUIREMENTS

To the Assistant Director for Patents
Washington, D.C. 20231

ATTN: Application Branch

Dear Sir:

This replies to the Office letter dated April 8, 2002. A copy of the Notice to File Missing Parts of Nonprovisional Application -- Filing Date Granted is enclosed.

No original declaration was filed, and enclosed is the original signed declaration for this application, along with the original signed power of attorney.

Please note that the inventors identified at the time of filing of the application sets forth a different inventive entity than the actual inventorship of the application. Thus, under MPEP § 201.03 and 37 C.F.R. § 1.41(a)(1), the actual inventorship of the application should be taken from the executed oath or declarations enclosed herein.

CERTIFICATE OF MAILING

I hereby certify that this document and the documents referred to as enclosed therein are being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Director for Patents, Attn: Application Branch, Washington, D.C. 20231, on this 29 day of May, 2002.

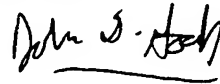

John D. Goodhue

Attached is a statement that the "attached" specification is a copy of the specification and any amendments thereto which were filed in the PTO to obtain the filing date.

Also attached is the required fee of \$130.00 for a large entity to cover the late filing of original declaration under 37 CFR 1.16(e).

Please charge any underpayment or credit any over payment to Deposit Account No. 26-0084. A duplicate of this request is attached.

Respectfully submitted,



JOHN D. GOODHUE, Reg. No. 47,603
McKEE, VOORHEES & SEASE
801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721
Phone No. (515) 288-3667
Fax No. (515) 288-1338
CUSTOMER NO: 22885

Attorneys of Record

- bja -

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 10/086,336 | 03/01/2002 | Karen S. Thomann | P04514US0 |

22885
MCKEE, VOORHEES & SEASE, P.L.C.
801 GRAND AVENUE
SUITE 3200
DES MOINES, IA 50309-2721



CONFIRMATION NO. 4139

FORMALITIES LETTER



OC000000007809883

Date Mailed: 04/08/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/11/2002 BNGUYEN1 00000030 10086336

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130.00 OP

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT : THOMANN, KAREN S.
SERIAL NO : 10/086,336
FILED : March 1, 2002
TITLE : AUTOMATED WORKFLOW MEANS AND METHOD FOR
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Conf. No. : 4139
Docket No. : P04514US0

**STATEMENT BY ATTORNEY THAT PAPERS ATTACHED TO
DECLARATION ARE A COPY OF THOSE FILED IN PTO TO GET
A FILING DATE**

To the Assistant Director for Patents
Washington, D.C. 20231

ATTN: Application Branch

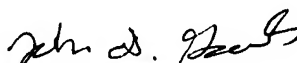
Dear Sir:

I, John D. Goodhue of McKee, Thomte, & Sease, 801 Grand Avenue, Suite 3200, Des Moines, Iowa 50309-2721, Registration No. 47,603, Telephone (515) 288-3667, state that I am the attorney for this application and that I have reviewed the

[1] page(s) of Abstract
[29] pages of Specification
[8] pages of claims
[8] sheets of drawings

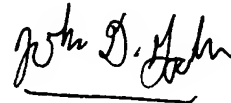
CERTIFICATE OF MAILING (37 C.F.R. § 1.8(a))

I hereby certify that this document and the documents referred to as enclosed therein are being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on this 18 day of May, 2002.


John D. Goodhue

as shown in my files to be the papers filed in respect to the above identified application and have compared them to the papers attached to the declarations of KAREN S. THOMANN, MARY J. CHIZEK, RICHARD C. JOHNSON, CARLA K. SEILER, PAUL N. DOUGLAS, and THOMAS R. HOUGHTON for AUTOMATED WORKFLOW MEANS AND METHOD FOR PENSION PRODUCTS which accompanies this statement and I declare that these papers attached to the declaration and power of attorney are a copy of the specification thereto which I filed in the PTO in order to obtain a filing date for this application by mailing to the PTO by Express Mail # EV060131312US on March 1, 2002.

Respectfully submitted,



JOHN D. GOODHUE, Reg. No. 47,603
ZARLEY, McKEE, THOMTE, VOORHEES
& SEASE
801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721
Phone No. (515) 288-3667
Fax No. (515) 288-1338
CUSTOMER NO: 22885

Attorneys of Record

- bja -



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PTO/SB/17 (11-01)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL

for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 130.00

Complete if Known

| | |
|----------------------|---------------------------|
| Application Number | 10/086,336 |
| Filing Date | March 1, 2002 |
| First Named Inventor | THOMANN, KAREN S., et al. |
| Examiner Name | |
| Group Art Unit | 2163 |
| Attorney Docket No. | P04514US0 |

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number
26-0084

Deposit Account Name
McKee, Voorhees & Sease, P.L.C.

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|-------------------------------|-------------------------------|------------------------|----------|
| 101 740 | 201 370 | Utility filing fee | |
| 106 330 | 206 165 | Design filing fee | |
| 107 510 | 207 255 | Plant filing fee | |
| 108 740 | 208 370 | Reissue filing fee | |
| 114 160 | 214 80 | Provisional filing fee | |

SUBTOTAL (1) (\$) 0

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent Claims | -20** = | X | |
| Multiple Dependent | -3** = | X | |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description |
|-------------------------------|-------------------------------|--|
| 103 18 | 203 9 | Claims in excess of 20 |
| 102 84 | 202 42 | Independent claims in excess of 3 |
| 104 280 | 204 140 | Multiple dependent claim, if not paid |
| 109 84 | 209 42 | ** Reissue independent claims over original patent |
| 110 18 | 210 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|-------------------------------|-------------------------------|--|----------|
| 105 130 | 205 65 | Surcharge - late filing fee or oath | |
| 127 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 130 | 139 130 | Non-English specification | |
| 147 2,520 | 147 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 112 920* | 112 920* | Requesting publication of SIR prior to Examiner action | |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action | |
| 115 110 | 215 55 | Extension for reply within first month | |
| 116 400 | 216 200 | Extension for reply within second month | |
| 117 920 | 217 460 | Extension for reply within third month | |
| 118 1,440 | 218 720 | Extension for reply within fourth month | |
| 128 1,960 | 228 980 | Extension for reply within fifth month | |
| 119 320 | 219 160 | Notice of Appeal | |
| 120 320 | 220 160 | Filing a brief in support of an appeal | |
| 121 280 | 221 140 | Request for oral hearing | |
| 138 1,510 | 138 1,510 | Petition to institute a public use proceeding | |
| 140 110 | 240 55 | Petition to revive - unavoidable | |
| 141 1,280 | 241 640 | Petition to revive - unintentional | |
| 142 1,280 | 242 640 | Utility issue fee (or reissue) | |
| 143 460 | 243 230 | Design issue fee | |
| 144 620 | 244 310 | Plant issue fee | |
| 122 130 | 122 130 | Petitions to the Commissioner | 130.00 |
| 123 50 | 123 50 | Processing fee under 37 CFR 1.17(q) | |
| 126 180 | 126 180 | Submission of Information Disclosure Stmt | |
| 581 40 | 581 40 | Recording each patent assignment per property (times number of properties) | |
| 146 740 | 246 370 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 740 | 249 370 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 740 | 279 370 | Request for Continued Examination (RCE) | |
| 169 900 | 169 900 | Request for expedited examination of a design application | |

Other fee (specify)

*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$) 130.00

SUBMITTED BY

| | | | | | |
|-------------------|------------------------|-----------------------------------|---------|-----------|----------------|
| Name (Print/Type) | JOHN D. GOODHUE | Registration No. (Attorney/Agent) | 47,603 | Telephone | (515) 288-3667 |
| Signature | <i>John D. Goodhue</i> | Date | 5/28/02 | | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.